

UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Thomas C. Naratil Group Art Unit: 2161
Serial No.: 09/688,392 Examiner: Mary Benton
Filed: October 16, 2000 Docket No. 4797-60
For: **SYSTEM AND METHOD FOR TRADING TAXABLE AND
NONTAXABLE SECURITIES**

55 Madison Avenue
Morristown, NJ 07960
September 7, 2001

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

RECEIVED

JAN 1 4 2002

Technology Center 2100

STATEMENT UNDER 37 C.F.R. §3.73(b)

Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [☒] the assignee of the entire right, title, and interest; or
2. [☐] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
 - A. [☐] an assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. [☐] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ to: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ to: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

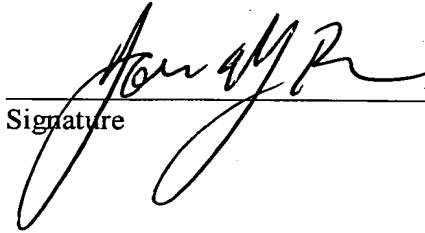
[] Additional documents in the chain of title are listed on a supplemental sheet.

[☒] Copies of assignments or other documents in the chain of title are attached.

The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01


Signature

John J. Burke
Name

Associate General Counsel
Title



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

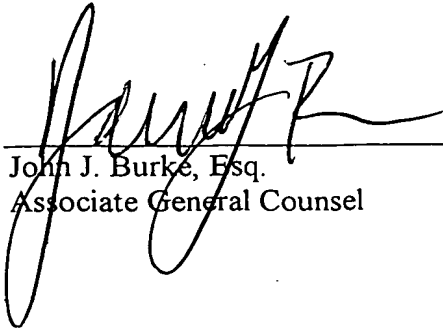
Assistant Commissioner of Patents
Box Assignments
Washington, D.C. 20231

RECEIVED
JAN 14 2002
Technology Center 2100

DECLARATION OF OWNERSHIP PURSUANT TO 37 CFR § 2.20

1. I, John J. Burke, hereby declare that I am an Associate General Counsel for UBS PaineWebber Inc. ("UBS PaineWebber").
2. UBS PaineWebber was formed pursuant to a merger agreement between UBS AG ("UBS") and Paine Webber Group Inc. PaineWebber Incorporated ("PaineWebber") was a wholly owned subsidiary of Paine Webber Group Inc. UBS PaineWebber filed a Certificate of Amendment of Certificate of Incorporation, which is attached hereto, on March 5, 2001, with the Delaware Secretary of State to reflect the corporate name change.
3. UBS PaineWebber, a Delaware corporation with offices at 1200 Harbor Blvd. Weehawken, New Jersey 07087, has acquired all right, title and interest in and to all assets and liabilities of PaineWebber, including all patents, trademarks and other intellectual property of PaineWebber. A list of patent applications currently filed with the U.S. Patent Office is attached hereto as Exhibit A.
4. The undersigned being warned that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements and the like may jeopardize the validity of the application or document or any registration resulting therefrom, declares that all statements made of his/her own knowledge are true; and all statements made on information and belief are believed to be true.

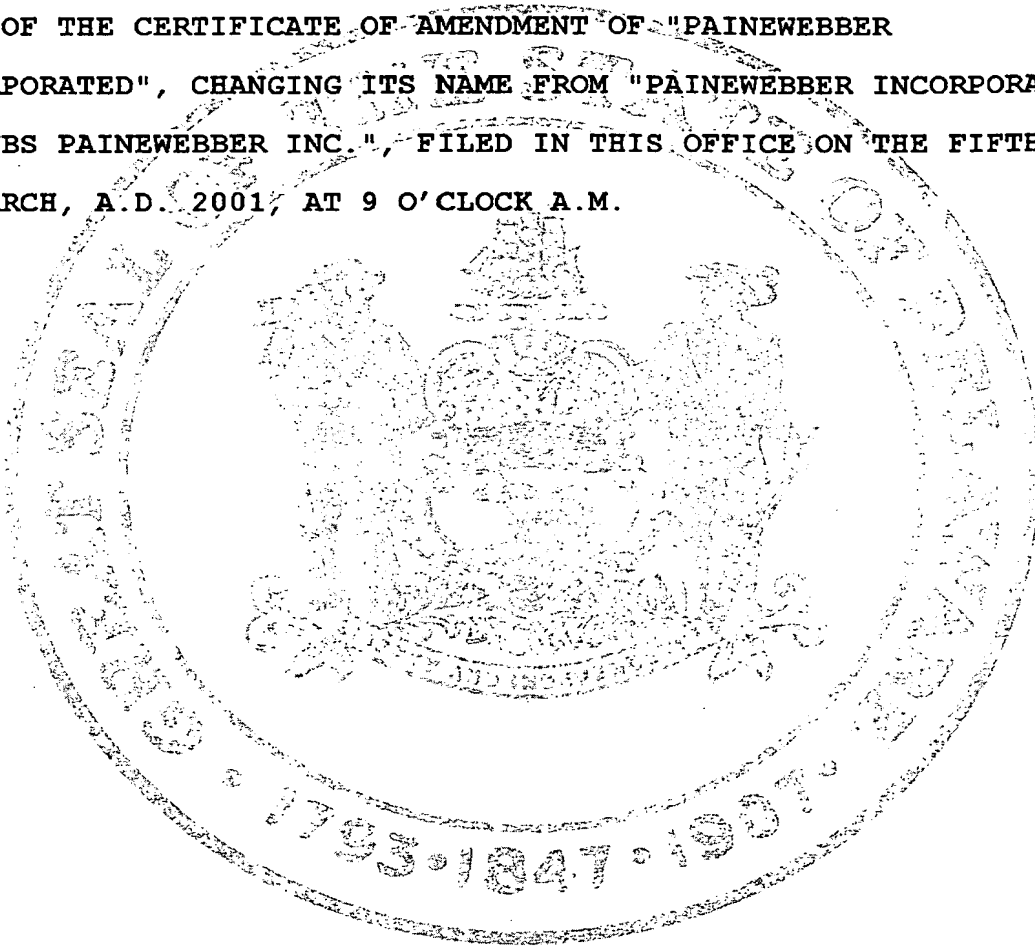
Dated: September 6, 2001



John J. Burke, Esq.
Associate General Counsel

State of Delaware
Office of the Secretary of State PAGE 1

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "PAINWEBBER INCORPORATED", CHANGING ITS NAME FROM "PAINWEBBER INCORPORATED" TO "UBS PAINWEBBER INC.", FILED IN THIS OFFICE ON THE FIFTH DAY OF MARCH, A.D. 2001, AT 9 O'CLOCK A.M.



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State

0719006 8100

AUTHENTICATION: 1245744

010336619

DATE: 07-16-01

CERTIFICATE OF AMENDMENT OF CERTIFICATE OF INCORPORATION
OF
PAINWEBBER INCORPORATED

It is hereby certified that:

1. The name of the corporation (hereinafter called the "corporation") is PaineWebber Incorporated.
2. The certificate of incorporation of the corporation is hereby amended by striking out Article I thereof and by substituting in lieu of said Article I the following new Article I:

ARTICLE I

NAME

The name of the corporation is:

UBS PaineWebber Inc.

3. The amendment of the certificate of incorporation herein certified has been duly adopted and written consent has been given in accordance with the provisions of Sections 141, 228 and 242 of the General Corporation Law of the State of Delaware.

Signed on *march 5, 2001*

By: *Geraldine L. Banyai*
Geraldine L. Banyai, Corporate Vice President

Attest: *Richard P. Borovoy*
Richard P. Borovoy, Assistant Secretary

UBS PAINEWEBBER INC.

Incumbency Certificate

I, Richard P. Borovoy, Assistant Secretary of UBS PaineWebber Inc., a Delaware corporation (the "Company"), DO HEREBY CERTIFY as follows:

The below-named person has been duly elected, has duly qualified and at all subsequent times to and including the date hereof, has been an officer of the Company, holding the office set opposite his name, and the signature below set opposite his name is his genuine signature or true facsimile thereof:

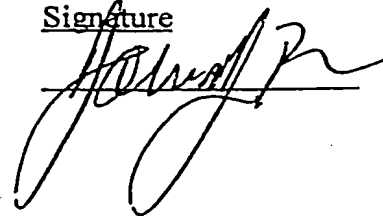
Name

Office

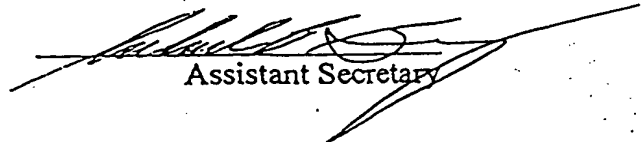
Signature

John J. Burke

Corporate Vice President



IN WITNESS WHEREOF I have hereunto set my hand and affixed the seal of the Corporation this 19th day of March, 2001.



Assistant Secretary

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Thomas C. Naratil Group Art Unit: 2161
Serial No.: 09/688,392 Examiner: Mary Benton
Filed: October 16, 2000
Attorney Docket No.: 4797-60
For: **SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-
TAXABLE SECURITIES**

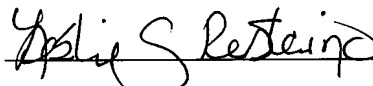
September 14, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST TO CHANGE ATTORNEY DOCKET NUMBER

Applicants request a change of the attorney docket number in this application
from 4034-20 to 4797-60.

Respectfully submitted,



Leslie Gladstone Restaino
Reg. No. 38,893
Attorney for Applicants
BROWN RAYSMAN MILLSTEIN
FELDER & STEINER LLP
55 Madison Avenue
Morristown, New Jersey 07960
(973) 285-3242